

08/17/01

11054 U.S. PTO

S&H Form: PTO/SB/05 (2/01)

**CONTINUING  
(1.53(b)) UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for continuing applications under 37 CFR 1.53(b))

Attorney Docket No.  
1316.1021CC

First Named Inventor:  
Jang-Hoon YOO et al.

Title: OPTICAL PICKUP COMPATIBLE WITH A DIGITAL  
VERSATILE DISK AND A RECORDABLE COMPACT  
DISK USING A HOLOGRAPHIC RING LENS

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600  
concerning utility  
patent application contents.

**ADDRESS TO:**

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form
2. ☒ Specification, Claims & Abstract ..... [Total Pages: 13]
3. ☒ Drawing(s) (35 USC 113) ..... [Total Sheets: 5] [FIGS. 1-7]
4. ☒ Oath or Declaration ..... [Total Pages: 1]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))
5. ☐ This application is filed by fewer than all the inventors named in the prior nonprovisional application.
  - a. ☐ DELETE the following inventor(s) named in the prior nonprovisional application:
  - b. ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
6. ☐ Verified Statement Claiming Small Entity Status
7. ☒ Incorporation by Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application (identified in Item 20), from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
8. ☐ Application Data Sheet. See 37 C.F.R. 1.76
9. ☐ CD-Rom or CD-R in duplicate, large table or Computer Program (Appendix)
10. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies
11. ☒ Assignment to Samsung Electronics Co., Ltd of Suwon-city, Korea at Reel 9729, Frame 0709 (for publication of assignee information under 37 CFR 1.215(B))  
☐ for publication of assignee information under 37 CFR 1.215(b)

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**ACCOMPANYING APPLICATION PARTS**

12. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
13. ☐ English Translation Document (if applicable)
14. ☒ Foreign priority benefit under 35 U.S.C. §119 is claimed.
  - a. ☒ Certified Copy of Priority Document(s) filed in prior application No. 09/049,988.
  - b. ☐ Certified Copy of Priority Document(s) enclosed.
  - c. ☐ Certified Copy of Priority Document(s) to follow.
15. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
16. ☐ Preliminary Amendment
  - a. ☐ enclosed herewith.
  - b. ☐ incorporated herein (see Box 20).
17. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
18. ☐ Request and Certification for Nonpublication under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
19. ☐ Other:

The PTO did not receive the following  
listed item(s) Assignment

**20. CONTINUING APPLICATION**, check appropriate box and supply the requisite information below:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: 09/419,792.

Prior application information: Examiner: M. Edun  
Group/Art Unit: 2651

**REMARKS**

In accordance with the foregoing, the specification has been amended to reference the parent application, and to comply with new rules regarding the preferred format of the application. Original claims 1 and 36-40 from the parent application have been cancelled without prejudice or disclaimer, and claims 42-47 have been newly added and renumbered as claims 1-6 for the purposes of publication. No new matter is presented.

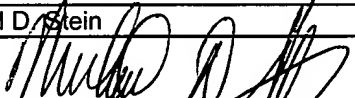
**21. NEW CORRESPONDENCE ADDRESS CUSTOMER NO. 21,171**

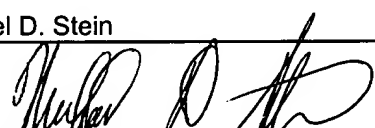


**21171**

PATENT TRADEMARK OFFICE

**22. SIGNATURE OF ATTORNEY OR AGENT**

|           |  |                  |                 |
|-----------|--|------------------|-----------------|
| NAME      | Michael D. Stein   | REGISTRATION NO. | 37,240          |
| SIGNATURE |  | DATE             | August 17, 2001 |

|   |   |                     |        |                      |                               |                      |  |
|---|---|---------------------|--------|----------------------|-------------------------------|----------------------|--|
| <b>NEW APPLICATION<br/>FEE TRANSMITTAL</b>  |   | Attorney Docket No. |        | 1316.1021CC          |                               |                      |  |
|   |   | Application Number  |        | To be assigned       |                               |                      |  |
|   |   | Filing Date         |        | August 17, 2001      |                               |                      |  |
| AMOUNT ENCLOSED   |   | \$ 710.00           |        | First Named Inventor |                               | Jang-Hoon YOO et al. |  |
| <b>FEE CALCULATION</b> (fees effective 10/01/00)  |   |                     |        |                      |                               |                      |  |
| CLAIMS  | (1) FOR   | (2) NUMBER<br>FILED |        | (3) NUMBER<br>EXTRA  | (4) RATE                      | (5)<br>CALCULATIONS  |  |
|   | TOTAL CLAIMS  | 6                   | - 20 = | 0                    | X \$ 18.00 =                  | \$ 0.00              |  |
|   | INDEPENDENT<br>CLAIMS   | 2                   | - 3 =  | 0                    | X \$ 80.00 =                  | 0.00                 |  |
|   | MULTIPLE DEPENDENT CLAIMS (any number; if<br>applicable)                            |                     |        |                      | + \$270.00 =                  |                      |  |
|   |   |                     |        |                      | BASIC FILING FEE              | 710.00               |  |
|   |   |                     |        |                      | Total of above Calculations = | \$ 710.00            |  |
|   | Surcharge for late filing fee, Oath or Declaration (37 CFR 1.53(f)) (\$130.00)      |                     |        |                      |                               |                      |  |
|   | Reduction by 50% for filing by small entity (37 CFR 1.27).                          |                     |        |                      |                               |                      |  |
|   |   |                     |        |                      | TOTAL FILING FEE =            | \$ 710.00            |  |
|   | Surcharge for filing non-English language application (\$130.00; 37 CFR<br>1.52(d)) |                     |        |                      |                               |                      |  |
|   | Recordation of Assignment (\$40.00; 37 CFR 1.21(h))                                 |                     |        |                      |                               |                      |  |
|   |   |                     |        |                      | TOTAL FEES DUE =              | \$ 710.00            |  |
| <b>METHOD OF PAYMENT</b>  |   |                     |        |                      |                               |                      |  |
| <input checked="" type="checkbox"/> Check enclosed as payment.<br><input type="checkbox"/> Charge "TOTAL FEES DUE" to the Deposit Account No. below.<br><input type="checkbox"/> No payment is enclosed and no charges to the Deposit Account are authorized at this time (unless specifically<br>required to obtain a filing date).  |   |                     |        |                      |                               |                      |  |
| <b>GENERAL AUTHORIZATION</b>  |   |                     |        |                      |                               |                      |  |
| <input checked="" type="checkbox"/> If the above-noted "AMOUNT ENCLOSED" is not correct, the Commissioner is hereby authorized to credit<br>any overpayment or charge any additional fees necessary to:   |   |                     |        |                      |                               |                      |  |
| Deposit Account No.   |   | 19-3935             |        |                      |                               |                      |  |
| Deposit Account Name  |   | STAAS & HALSEY LLP  |        |                      |                               |                      |  |
| <input checked="" type="checkbox"/> The Commissioner is also authorized to credit any overpayments or charge any additional fees required<br>under 37 CFR 1.16 (filing fees) or 37 CFR 1.17 (processing fees) during the prosecution of this application,<br>including any related application(s) claiming benefit hereof pursuant to 35 USC 120 (e.g.,<br>continuations/divisionals/CIPs under 37 CFR 1.53(b) and/or continuations/divisionals/CPAs under 37 CFR<br>1.53(d)) to maintain pendency hereof or of any such related application. |   |                     |        |                      |                               |                      |  |
| <b>SUBMITTED BY: STAAS &amp; HALSEY LLP</b>   |   |                     |        |                      |                               |                      |  |
| Typed Name  | Michael D. Stein  |                     |        |                      | Reg. No.                      | 37,240               |  |
| Signature   |  |                     |        |                      | Date                          | August 17, 2001      |  |